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EXAMINER
HUGHET, W

ART UNIT	PAPER NUMBER
2411	

DATE MAILED: 10/27/97

Please find below and/or attached an Office communication concerning this application or proceeding.

Commissioner of Patents and Trademarks

X Responsive to communication(s) filed on *Apr 2, 1996*

☐ This action is **FINAL**.

☐ Since this application is in condition for allowance except for formal matters, **prosecution as to the merits is closed** in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11; 453 O.G. 213.

A shortened statutory period for response to this action is set to expire _____3_____ month(s), or thirty days, whichever is longer, from the mailing date of this communication. Failure to respond within the period for response will cause the application to become abandoned. (35 U.S.C. § 133). Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

Disposition of Claims

X Claim(s) *1-20* _____ is/are pending in the application.

     Of the above, claim(s) _____ is/are withdrawn from consideration.

☐ Claim(s) _____ is/are allowed.

X Claim(s) *1-20* _____ is/are rejected.

☐ Claim(s) _____ is/are objected to.

☐ Claims _____ are subject to restriction or election requirement.

Application Papers

☐ See the attached Notice of Draftsperson's Patent Drawing Review, PTO-948.

☐ The drawing(s) filed on _____ is/are objected to by the Examiner.

☐ The proposed drawing correction, filed on _____ is ☐approved ☐disapproved.

☐ The specification is objected to by the Examiner.

☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. § 119

☐ Acknowledgement is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d).

     ☐ All ☐ Some* ☐ None   of the CERTIFIED copies of the priority documents have been

        ☐ received.

        ☐ received in Application No. (Series Code/Serial Number) _____ .

        ☐ received in this national stage application from the International Bureau (PCT Rule 17.2(a)).

     *Certified copies not received: _____ .

☐ Acknowledgement is made of a claim for domestic priority under 35 U.S.C. § 119(e).

Attachment(s)

☐ Notice of References Cited, PTO-892

X Information Disclosure Statement(s), PTO-1449, Paper No(s). _____8_____

☐ Interview Summary, PTO-413

☐ Notice of Draftsperson's Patent Drawing Review, PTO-948

☐ Notice of Informal Patent Application, PTO-152

     WNH 10/21/97 --- **SEE OFFICE ACTION ON THE FOLLOWING PAGES** ---

Part III   DETAILED ACTION

Drawings

1.   This application has been filed with informal drawings which are acceptable for examination purposes only. Formal drawings will be required when the application is allowed.

Specification

2.   The title of the invention is not descriptive. A new title is required that is clearly indicative of the invention to which the claims are directed. The Examiner respectfully suggests the following title: "Document Storage and Retrieval System."

Claim Rejections - 35 USC § 103

3.   · The following is a quotation of 35 U.S.C. § 103 which forms the basis for all obviousness rejections set forth in this Office action:

> A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

> Subject matter developed by another person, which qualifies as prior art only under subsection (f) or (g) of section 102 of this title, shall not preclude patentability under this section where the subject matter and the claimed invention were, at the time the invention was made, owned by the same person or subject to an obligation of assignment to the same person.

4.   Claims 1 - 20 are rejected under 35 USC § 103 as being unpatentable over Cukor et al. (U.S. Patent No. 5,168,444) in view of Tom Reding, "Digital Imaging

Technology: What, Where, and Why in Commercial Nuclear Power", Nuclear Plant

Journal, July-August 1991, pages 89, 90, and 94 (hereinafter "Reding").

(A)   As to Claim 1 and 10 - 12, Cukor discloses a computer-based trade

records information management system for scanning, storing, searching, retrieving,

and displaying data pertaining to commercial transactions (see Cukor; abstract). A

central storage means at a regional processing center stores bit mapped (scanned)

images of documents and includes a database of data related to the scanned documents

(Fig. 1; Col 5, lines 31 - 50; Col 8, lines 4 - 7). Cukor teaches a regional processing

center comprised of a plurality of customer workstations each located at shipping

stations remote from a central storage facility. Each workstation includes local storage

means for storing bit mapped images and is linked to central storage by means of a

local area network. Although Cukor does not expressly disclose use of a wide area

network for connecting the workstations to the regional center nor for linking regional

centers to each other, it does teach that a plurality of such regional centers may be

networked together over a large geographic area (Fig. 1; Col 5, line 31 - Col 6, line

10). Reding is a system for the electronic storage, management, and retrieval of all

types of documents and teaches that such a system can be implemented across both

local and wide area networks. It would have been obvious to one of ordinary skill in

the art of financial information management to modify Cukor with the wide area

network means of Reding in order to provide for institution-wide storage and retrieval

of documents (see Reding at page 90, col 3; Cukor at Col 5, lines 52 - 59).

Cukor also discloses means for inputting data into central storage from a

plurality of remote workstations and also from central means (Col 5, lines 43 - 50; Col

7, lines 16 - 21; Col 8, lines 4 - 7, Col 10, lines 46 - 60).

Finally, Cukor teaches indexing data to be centrally stored by means of a

common PRO number and electronically associating all documents related to a single

transactions in a common electronic file folder for subsequent retrieval. Such indexed data includes at least one scanned document (Col 2, lines 7 - 21; Col 10, lines 21 - 40).

Although Cukor does not expressly disclose the management of information related to financial transactions, the Examiner asserts that the sale and shipment of goods is well known to comprise financial transactions (see Col 1, line 65 to Col 2, line 6; Col 6, lines 37 - 41). Cukor further differs from the invention in that it does not disclose means for storing messages and completed inquiries. However, Cukor does teach electronic association of all documents associated with a particular shipment transaction (Col 10, lines 22 - 40) and further discloses the processing of documents for filling customer requests (Col 7, lines 21 - 25). The Examiner asserts that it would have been obvious to one of ordinary skill in the art of financial information management to include means for storing customer messages and inquiries. One would be motivated to do so in order to retain all information related to a particular transaction in a single, searchable database for subsequent review and/or retrieval and to avoid the problems associated with handling paper documents (see Col 2, lines 7 - 12 and 19 - 21; Col 3, lines 21 - 25 and 62 - 65; Col 5, lines 21 - 25).

(B)   As to Claims 2 and 3, although Cukor discloses means for searching data storage means and identifying found records, it does not teach searching by means of structured inquiries (Col 8, line 65; Col 14, lines 11 - 18; Col 7, lines 21 - 25). Reding does teach searching the document image file by means of structured database queries and displaying the found records (page 89, col 2). It would have been obvious to one of ordinary skill in the art to modify Cukor with the structured query means of Reding in order to utilize the sophisticated search means available through database management systems (see Reding at page 89, col 2). Although both Cukor and Reding disclose use of display means by which to view found documents, neither

teach such means by which to build structured queries. However, the Examiner asserts that the use of graphic user interfaces to build structured queries is well known in the art of database management and would have been obvious to the skilled artisan as a known and convenient means by which to search an online database.

(C)   As to Claim 4, Cukor discloses supervisory means for monitoring activities on the system (Col 3, lines 31 - 34; Col 8, lines 48 - 49). Although Cukor does not disclose the details of the supervisory means, the Examiner asserts that monitoring the work of another, any backlog of processing, and assigning access privileges are all well known supervisory means and would have been obvious to the skilled artisan to implement to ensure timely and secure processing of financial data (see Col 3, lines 31 - 32 and 35 - 36).

(D)   As to Claim 5, Cukor teaches accessing and displaying the data in a particular data folder (Col 14, lines 11 - 18; Col 7, lines 21 - 25).

(E)   As to Claim 6, Cukor teaches assigning a transaction data folder to a particular user by name, PRO number, and/or bill of lading (Col 6, lines 49 - 60; Col 10, lines 22 - 40).

(F)   As to Claim 7, Cukor discloses a work queue containing documents of a particular user to process (Col 7, lines 21 - 25).

(G)   As to Claim 8, Cukor teaches means for exchanging database data through the network (Col 7, lines 16 - 25).

(H)   As to Claim 9, Cukor teaches assignment of a unique internal identifier for the identification of each file folder and further to identify each document image in the folder (Col 14, lines 8 - 26; Col 15, lines 2 - 8).

(I)   As to Claim 13, Cukor discloses a plurality of regional processing centers each networked to remote workstations and to each other (Col 5, lines 52 - 55). The

remaining limitations of Claim 13 are found in Claim 1, and the remainder of this claim is rejected for the same reasons.

(J)   As to Claim 14, Cukor teaches preprocessing of inbound paper-based documents at the remote site prior to transmission to the central site (Col 10, lines 22 - 60). The remaining limitations of Claim 14 are found in Claim 1, and the remainder of this claim is rejected for the same reasons.

(K)   The limitations of Claim 15 are found in Claim 6, and this claim is rejected for the same reasons.

(L)   The limitations of Claim 16 are found in Claim 7, and this claim is rejected for the same reasons.

(M)   The limitations of Claim 17 are found in Claim 4, and this claim is rejected for the same reasons.

(N)   The limitations of Claim 18 are found in Claim 1, and this claim is rejected for the same reasons.

(O)   The limitations of Claim 19 are found in Claim 2, and this claim is rejected for the same reasons.

(P)   The limitations of Claim 20 are found in Claim 9, and this claim is rejected for the same reasons.

Conclusion

5.   Any inquiry concerning this communication or earlier communications from the examiner should be directed to William Hughet, whose telephone number is (703) 305-9770. The examiner can be reached on Monday through Friday from 8:00 a.m. to 5:00 p.m.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gail Hayes, can be reached at (703) 305-9711. The fax phone number for this Group is (703) 305-9731.

Any inquiry of a general nature or relating to the status of this application should be directed to the Group receptionist whose telephone number is (703) 305-3900.

William N. Hughet
October 21, 1997
(08626600.AC1)   WNH

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